



**ROBERT B. TAYLOR**  
Chief Probation Officer

## COUNTY OF LOS ANGELES PROBATION DEPARTMENT

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August 17, 2006

TO: Each Supervisor

FROM: Robert B. Taylor *Robert B. Taylor*  
Chief Probation Officer

J. Tyler McCauley *J. Tyler McCauley*  
Auditor-Controller

SUBJECT: **IMPLEMENTATION OF MANAGEMENT & PROGRAM AUDIT  
RECOMMENDATIONS – FIRST QUARTERLY STATUS REPORT**

On May 10, 2006, during the FY 2006-07 Proposed Budget Public Hearing, on motion of Supervisor Molina, the Board instructed the Chief Probation Officer along with the Chief Administrative Officer (CAO) and the Auditor-Controller, to provide the Board with quarterly status reports on the following:

- 1) The implementation of the management and program audits conducted by Thompson, Cobb, Bazilio and Associates (TCBA) and the Child Welfare League of America (CWLA);
- 2) The reorganization of the Probation Department; and
- 3) The Probation Department's plans to institutionalize change in the Department, such as formalized investigations of staff; implementation of corrective actions; and training of new and existing staff.

The Probation Department's FY 2006-07 Unmet Needs of \$164 million, recently revised to \$116.3 million, includes funding to implement some of the TCBA and CWLA recommendations, one of which is the reorganization of the Department. The Department's June 22, 2006 Priority Unmet Needs Multi-Year Implementation Plan is under review by the CAO and the Department of Human Resources, who will be providing their recommendations to the Board in September 2006.

The preceding areas overlap each other and have a direct or indirect nexus with the Probation Department's strategic plan, which is being developed with the assistance of Moore Iacofano Goltsman, Inc., a consulting firm hired by the Probation Department in December 2005, to assist with their strategic planning efforts. The Department's strategic plan is anticipated to be completed in September 2006.

### **BACKGROUND**

In September 2004, the Board directed the Auditor-Controller to initiate a management and program audit of the Probation Department. On December 6, 2005, TCBA and CWLA issued their audit reports which collectively contained 100 recommendations. The TCBA audit recommendations focused on six areas: 1) strategic planning; 2) linking strategies to operations; 3) organizational structure and leadership; 4) automated systems and technology; 5) personnel management; and 6) other audit areas. The CWLA audit recommendations focused on four areas relative to the Probation Department's programs to determine their efficiency and effectiveness: 1) program planning and implementation; 2) best practices and benchmarking; 3) performance measurement; and 4) work processes. A summary implementation status of the audit recommendations as recommended by both agencies, by audit category, is provided in Attachment I.

The Department's Unmet Needs originally consisted of approximately \$164 million and has recently been reduced to \$116.3 million, by deferring primarily the installation of wet rooms in the juvenile halls. Although the Probation Department has requested funds to implement many of the audit recommendations with a focus primarily on improving service delivery to minors, many other recommendations were excluded from the Department's Unmet Needs as noted further below.

### **FIRST QUARTER PROGRESS HIGHLIGHTS**

Representatives from the Auditor-Controller's Office and the Probation Department have been working with The Resources Company (TRC), a consulting agency hired by the Auditor-Controller in May 2006, to assist the Probation Department in effectively implementing the TCBA and CWLA recommendations. TRC has conducted a thorough review of those recommendations categorized by the Probation Department as being implemented, and has confirmed the status of all recommendations.

TRC is assisting the Department in tracking the recommendations which are categorized as "Implemented," "Partially Implemented," "Not Implemented" and "Funding Requested." Attached are summaries of each recommendation, by audit category, as assigned to TRC (Attachment II); covered by MIG's strategic planning process (Attachment III); or addressed by Dr. Alan Glassman, a Probation consultant hired to assist the Department with organizational transformation (Attachment IV). In addition, the Probation Department has determined, with TRC's concurrence, that five recommendations are "not applicable" for the reasons specified in Attachment V. Consequently, out of the 100 recommendations, 95 are being tracked, of which 63 (66%) have been implemented or are partially implemented. The following provides a general overview of the status of the audit recommendations and the progress of the work to date.

### **I. AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS OVERVIEW**

As indicated on Attachment I, of the 95 applicable TCBA and CWLA audit recommendations:

- 17 (18%) have been fully implemented by the Department as confirmed by TRC;
- 46 (48%) are in progress, and thus, partially implemented;
- 10 (11%) are not yet implemented; and
- 22 (23%) are contingent on the availability of additional resources.

As reflected above, 32 recommendations (34%) are not yet implemented, of which 22 are contingent upon additional resources.

### **II. PROBATION DEPARTMENT REORGANIZATION**

The Probation Department's FY 2006-07 revised Unmet Needs of \$116.3 million include \$26.2 million and 253 positions necessary to proceed with a significant management restructure of the Department, primarily aimed at:

- ✓ Addressing the span of supervision problem and the "flatness" of the organization;
- ✓ Handling appropriately the many operational responsibilities for effective strategic planning and management and enabling addressing long-term issues;
- ✓ Providing the necessary leadership to better prepare the Department for the future; and
- ✓ Enhancing communication internally and externally, including all key stakeholders.

The Probation Department and TRC concur with the recommendations that a serious restructuring of the Probation Department is necessary and that the current organizational structure is too flat to adequately meet and support the Department's current demands.

The Department's unmet needs also include \$22.6 million and 325 positions necessary to redesign the 18-juvenile-camp operation, augment services at the three juvenile halls, as well as increase administrative positions to support a potential increase in operational staff.

These additional resources would equip the Probation Department to significantly transform its operations, including how probation services are delivered, and achieve the Department's Strategic Plan's goals, the camp-related recommendations noted by the Children's Planning Council and CWLA, and would address other key stakeholders' concerns.

## **II. PLANS TO INSTITUTIONALIZE DEPARTMENTAL CHANGE**

The following are the Department's actions taken thus far and its plans to institutionalize departmental change, specifically in the following areas:

***Formalized Staff Investigations, Corrective Action Implementation, and Training of New and Existing Staff*** – Consistent with the audit recommendations, the Department has moved the Child Abuse Special Investigations unit created as a result of the Department of Justice review, to report directly to the Chief Probation Officer, as well as the Internal Affairs section. The Probation Department believes that this enhances their ability to implement corrective actions and is a mechanism for increasing managerial and staff accountability. The Department has also created an Audits and Controls section to establish internal audit processes for managers and/or their operations as a means of increasing operational controls.

In addition, regarding training, the Probation Department has recently initiated a strategy to establish a Department Training Division that will eventually provide nearly all of the operational training needed by line staff, supervisors and managers. The Department is currently working on four parts of this development:

1. The Department has received approval to obtain a loaned Lieutenant from the Sheriff's Department to assist with evaluating and redesigning its training curriculum for all entry-level line staff as well as providing subsequent training needed by Probation personnel, if and when they move from halls to camps to field offices and become supervisors and managers.
2. The Resources Company is assisting the Department's Administrative Services Bureau to develop an action plan to establish the in-house training academy.
3. Probation's Training staff are currently reviewing all of the Department's operations-related training courses to facilitate an assessment by The Resources Company as to: (a) how well the curriculum aligns with evidence-based practices (EBP) and (b) what curriculum additions, changes and deletions are needed to do so. Additional information regarding evidence-based practices is provided under the Second Quarter Goals section of this report.
4. On January 31, 2006, the Department received Board approval for an additional 237 budgeted peace officer line positions for the juvenile halls, and an additional 33 positions as part of the FY 2006-07 budget process, for a total of 270 line positions. All of these positions have been filled. Training classes are also ongoing. In addition, as part of the FY 2006-07 budget process, the Department received 30 additional positions to provide training and is working towards filling these positions.

As previously indicated, the Department's Unmet Needs focused primarily on service delivery to minors, and excluded the need to augment adult probation services, and thus, funding to implement any of the adult-related audit recommendations. Consequently, the Probation Department indicates that beyond the \$116.3 million unmet needs estimate, their additional needs consist of \$40 million to address the remaining audit recommendations and \$86 million for other Departmental needs.

### **SECOND QUARTER GOALS**

Over the next quarter, our collaborative efforts should enable:

- Finalizing the Probation Department's proposed reorganization structure contingent on Board-approved funds.
- Completing the Probation Department's strategic plan.
- Retaining and assembling of a consultant team to assist the Probation Department with implementing those management and program audit recommendations that require subject matter expertise.
- Completing a comprehensive action plan to implement an evidence-based practices (EBP) vision throughout the Probation Department, resulting in: 1) an EBP framework for resource allocation and future training of the Department's operations staff and 2) a continuum of supervision, treatment and other services to juvenile, emergent adult, and adult probationers.

With TRC's assistance, Probation is proceeding with implementation of EBP, which is research-driven, community corrections practice aimed at changing delinquent and adult offender behavior and reducing recidivism. EBP is based on eight core principles: 1) assess delinquent and offender risk and needs; 2) enhance client motivation to change; 3) base interventions on research; 4) skill train delinquents and offenders; 5) positively reinforce pro-social behavior; 6) obtain support for behavioral change in natural communities; 7) measure process and outcomes; and 8) provide feedback to offenders and agencies. The Department's overall goals are to reduce recidivism and victimization; enhance collaboration among County departments and with community and faith-based organizations; establish research-driven decision making; and target funding toward the interventions that bring the greatest return on investment.

- Sponsoring a community corrections conference involving the Probation Department, other County departments, other local agencies; including the Los Angeles County Office of Education and the Los Angeles Unified School District, and community-based and faith-based organizations, and

- Continuing to implement as many audit recommendations as fiscally and operationally feasible. We are currently projecting fully implementing 16 additional recommendations within the second quarter, for a total of 33 recommendations (35%) – these recommendations are not contingent on additional funding. A cumulative projected implementation schedule is provided in Attachment VI.

The Probation Department and TRC believe that significant progress has been made over this past initial quarter, and that substantial progress can be further achieved with additional resources allocated to this endeavor.

Please contact us if you have any questions or if additional information is necessary, or your staff may contact David M. Davies, Chief Deputy, Probation at (562) 940-2511, or Don Chadwick, Chief, Countywide Contract Monitoring Division at (626) 293-1102.

RBT/JTM:dn

Attachments (6)

c: David E. Janssen, Chief Administrative Officer  
Sachi A. Hamai, Executive Officer, Board of Supervisors  
Michael J. Henry, Director of Personnel  
Public Information Office  
Audit Committee  
Justice Deputies

# ATTACHMENTS

- I. SUMMARY IMPLEMENTATION STATUS  
(BY AGENCY, BY AUDIT CATEGORY)
- II. SUMMARY OF RECOMMENDATIONS ASSIGNED TO  
THE RESOURCES COMPANY
- III. SUMMARY OF RECOMMENDATIONS COVERED BY  
MIG'S STRATEGIC PLANNING PROCESS
- IV. SUMMARY OF RECOMMENDATIONS ADDRESSED BY  
ALAN GLASSMAN
- V. SUMMARY OF FIVE "NOT APPLICABLE" MANAGEMENT & PROGRAM  
AUDIT RECOMMENDATIONS
- VI. CUMULATIVE PROJECTED QUARTERLY IMPLEMENTATION SCHEDULE

**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY IMPLEMENTATION STATUS  
(BY AGENCY, BY AUDIT CATEGORY)  
AS OF AUGUST 11, 2006**

<b>Audit Category</b>	<b>Implemented (Completed)</b>	<b>Partially Implemented</b>	<b>Not Implemented</b>	<b>Funding Requested</b>	<b>Total *</b>
<b>TCBA Management Audit</b>					
<i>Strategic planning</i>		6			6
<i>Linking strategy to operations</i>		4	2	2	8
<i>Organizational structure and leadership</i>	2	4	1		7
<i>Automated systems and technology</i>	3	3		2	8
<i>Personnel management</i>	5	1	3	5	14
<i>Other audit areas</i>	2	1			3
<b>Subtotal – TCBA Management Audit</b>	<b>12</b>	<b>19</b>	<b>6</b>	<b>9</b>	<b>46</b>
<b>CWLA Program Audit</b>					
<i>Program planning and implementation</i>		8	3	3	14
<i>Best practices and benchmarking</i>		5		6	11
<i>Performance measurement</i>	2	4		3	9
<i>Work processes</i>	3	10	1	1	15
<b>Subtotal – CWLA Program Audit</b>	<b>6</b>	<b>26</b>	<b>4</b>	<b>13</b>	<b>49</b>
<b>Total</b>	<b>17</b>	<b>46</b>	<b>10</b>	<b>22</b>	<b>95</b>
<b>Percentage</b>	<b>18%</b>	<b>48%</b>	<b>11%</b>	<b>23%</b>	<b>100%</b>

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).

Excludes five recommendations (TCBA 19, 23, 26, 38 and CWLA 47) that are not applicable, as determined by Probation with TRC's concurrence (See Attachment V).



**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY OF RECOMMENDATIONS ASSIGNED TO  
THE RESOURCES COMPANY  
AS OF AUGUST 11, 2006**

No.	Audit Category / Recommendation	Implemented (Completed)	Partially Implemented	Not Implemented	Funding Requested	Estimated Completion
	<b>Linking Strategy to Operations</b>					
TCBA 9	<i>Cross-bureau planning and coordination</i>		✓			Apr. 2007
	<b>Organ. Structure &amp; Leadership</b>					
TCBA 16	<i>Diversification of management team</i>	✓				
TCBA 18	<i>Combining of internal investigative functions</i>	✓				
TCBA 21	<i>HQ manager involvement in service delivery</i>		✓			Jun. 2006
	<b>Automated Systems &amp; Technology</b>					
TCBA 24	<i>Use of data warehousing and geographic information systems</i>				✓	
TCBA 24a	<i>Funding of E-Learning program</i>		✓			Oct. 2006
TCBA 25	<i>IT equipment replacement schedule</i>	✓				
TCBA 25a	<i>Overall assessment of Info. Systems Office; IT Infrastructure Library adoption</i>		✓			Mar. 2008
TCBA 27-1	<i>Hiring of Information Security Officer</i>	✓				Dec. 2006
TCBA 27-2	<i>Development of data security plans</i>		✓			
TCBA 28-1	<i>Interactive voice response – ISO help desk</i>		✓		✓	Oct. 2006
TCBA 28-2	<i>Interactive voice response – field offices</i>					
TCBA 29	<i>Use of PEDMS imaging software</i>				✓	
TCBA 30	<i>Formulation of IT communications plan</i>	✓				Jun. 2006

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).

**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY OF RECOMMENDATIONS ASSIGNED TO  
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AS OF AUGUST 11, 2006**

No.	Audit Category / Recommendation	Implemented (Completed)	Partially Implemented	Not Implemented	Funding Requested	Estimated Completion
	<b>Personnel Management</b>					
TCBA 32	Consolidated recruitment & hiring; targeted regional recruitment; recruitment budget unit				✓	
TCBA 33	Open competitive recruitment	✓				
TCBA 35	Expanded criminal history checks, credit history checks, drug testing, and polygraph examinations of employment candidates				✓	
TCBA 36	Field investigation and information verification of employee backgrounds				✓	
TCBA 37	Professional Standards Unit consolidation and reporting directly to CPO	✓				Aug. 2006
TCBA 41	Employee morale improvement	✓				
TCBA 42	Management-staff communication tools		✓			Dec. 2006
TCBA 43	Completion of employee evaluations	✓				
TCBA 44	Personnel management systems review; personnel evaluation process recommendations to Executive Leadership Team	✓				
TCBA 45	Appraisals of promotability process			✓		Dec. 2006
TCBA 46	Employee turnover analysis				✓	Jul. 2008
TCBA 47	Department succession plan; administrative intern program				✓	

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).

**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY OF RECOMMENDATIONS ASSIGNED TO  
THE RESOURCES COMPANY  
AS OF AUGUST 11, 2006**

No.	Audit Category / Recommendation	Implemented (Completed)	Partially Implemented	Not Implemented	Funding Requested	Estimated Completion
	<b>Other Audit Areas</b>					
TCBA 59	<i>Injury and illness prevention program</i>		✓			Dec. 2006
TCBA 60	<i>Grants administration policies/procedures</i>	✓				
TCBA 61-1	<i>Public Information function to CPO office</i>	✓				
TCBA 61-2	<i>Resources for PIO function</i>				✓	
	<b>Program Planning/Implementation</b>					
CWLA 3	<i>Evaluation of existing program and new initiatives</i>				✓	Apr. 2007
CWLA 4-1	<i>Update of the Juvenile Manual</i>		✓			Oct. 2006
CWLA 4-2	<i>Publishing of Juvenile Manual on-line</i>		✓			Dec. 2006
CWLA 5	<i>Standard risk/needs assessment tool and responsivity tools</i>		✓			Dec. 2006
CWLA 6	<i>Referral of clients for services policy; criminogenic needs assessment tool</i>		✓			Dec. 2006
CWLA 7	<i>Risk reduction case management strategies</i>		✓			Dec. 2006
CWLA 8	<i>Court reports training / quality assurance</i>		✓			Dec. 2007
CWLA 10	<i>Analysis of caseload sizes; publication of caseload requirements and measures of compliance</i>			✓		Jan. 2007
CWLA 11	<i>Set up case management database</i>		✓			Apr. 2007
CWLA 12-1	<i>Electronic database of CBO resources</i>		✓			Apr. 2007
CWLA 12-2	<i>Track utilization of CBOs</i>			✓		Apr. 2007
CWLA 12-3	<i>Identify gaps in services/resources</i>			✓		Apr. 2007
CWLA 13	<i>Criteria for utilization of CBOs</i>			✓		Mar. 2007

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).

**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY OF RECOMMENDATIONS ASSIGNED TO  
THE RESOURCES COMPANY  
AS OF AUGUST 11, 2006**

No.	Audit Category / Recommendation	Implemented (Completed)	Partially Implemented	Not Implemented	Funding Requested	Estimated Completion
	<b>Best Practices and Benchmarking</b>					
CWLA 17	Staff development regarding EBP planning and contracting				✓	
CWLA 18	Action plan for EBP		✓			Dec. 2006
CWLA 19	Coordination with CBOs in geographic areas		✓			Jun. 2007
CWLA 20	Additional program slots – FFT, MST and MTFC interventions		✓			Jun. 2008
CWLA 21	Evaluation of departmental programs				✓	
CWLA 22	Staff training on EBPs				✓	
CWLA 23	Comprehensive examination of the camps programs		✓			Dec. 2007
CWLA 24	Comprehensive examination of camps outcomes; database of new screening information		✓			Apr. 2007
CWLA 25	Non-residential, community-based services				✓	Jun. 2007
	<b>Performance Measurement</b>					
CWLA 29	Collaboration with group home providers/CBOs	✓				
CWLA 30	Contracting for client outcomes		✓			Jun. 2007
CWLA 31	Adoption of APPFS performance standards	✓				
CWLA 34	Action plan to implement EBPs		✓			Dec. 2006

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).

**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY OF RECOMMENDATIONS ASSIGNED TO  
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AS OF AUGUST 11, 2006**

No.	Audit Category / Recommendation	Implemented (Completed)	Partially Implemented	Not Implemented	Funding Requested	Estimated Completion
	<b>Intra/Inter-Agency Work Processes</b>					
<b>CWLA 35</b>	Use of LAARC to assess risk/needs; support/services for desired outcomes		✓			Jan. 2007
<b>CWLA 36</b>	LAARC as an assessment tool		✓			Jun. 2007
<b>CWLA 37</b>	PO assignment to geographic areas; coordination with CBOs			✓		Mar. 2007
<b>CWLA 38</b>	Examination of case transition/transfer points	✓				
<b>CWLA 39</b>	Timely orientation of minors		✓			Sept. 2006
<b>CWLA 40</b>	Review assessment/placement process		✓			Dec. 2006
<b>CWLA 42</b>	Evaluation of DCFS GH contracts	✓				
<b>CWLA 43</b>	Evaluation design and data collection system				✓	
<b>CWLA 44</b>	DCFS improvements to 241.1 process		✓			Dec. 2006
<b>CWLA 45</b>	Participation in Wraparound services		✓			Dec. 2006
<b>CWLA 46</b>	Protocol for dual status designation		✓			Dec. 2006
<b>CWLA 48</b>	Continuity of treatment services with methods to address interruptions		✓			Dec. 2006
<b>CWLA 49</b>	Juvenile manipulation of medications; implications for camp services	✓				
<b>CWLA 50</b>	Identification of gaps in MH services		✓			Jun. 2007

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).

**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY OF RECOMMENDATIONS COVERED BY  
MIG's STRATEGIC PLANNING PROCESS  
AS OF AUGUST 11, 2006**

No.	Audit Category / Recommendation	Implemented (Completed)	Partially Implemented	Not Implemented	Funding Requested	Estimated Completion
	<b>Strategic Planning</b>					
TCBA 1	<i>Strategic goal development</i>		✓			Sept. 2006
TCBA 3	<i>Issue-focused working groups</i>		✓			Sept. 2006
TCBA 4	<i>Comprehensive strategic planning approach</i>		✓			Sept. 2006
TCBA 5	<i>New strategic initiatives</i>		✓			Sept. 2006
	<b>Linking Strategy to Operations</b>					
TCBA 11	<i>Hierarchy of performance indicators</i>			✓		Dec 2006
TCBA 12	<i>Clear/concise performance reports</i>			✓		June 2007
TCBA 13	<i>Development of performance indicators</i>			✓		Dec. 2006
TCBA 14	<i>Customer satisfaction evaluation/strategies</i>			✓		Dec. 2006
	<b>Organization Structure &amp; Leadership</b>					
TCBA 22	<i>Linkages to stakeholder organizations</i>			✓		June 2007
	<b>Program Planning &amp; Implementation</b>					
CWLA 1	<i>Comprehensive action plan for EBP</i>			✓		Dec. 2006
CWLA 2	<i>Regular stakeholder feedback</i>			✓		June 2007
CWLA 9	<i>Workload measures for caseload evaluation</i>			✓		Jan. 2007
CWLA 14	<i>Collaboration with CBOs in geographic areas</i>			✓		June 2007

**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY OF RECOMMENDATIONS COVERED BY  
MIG's STRATEGIC PLANNING PROCESS  
AS OF AUGUST 11, 2006**

No.	Audit Category / Recommendation	Implemented (Completed)	Partially Implemented	Not Implemented	Funding Requested	Estimated Completion
	<b>Best Practices &amp; Benchmarking</b>					
CWLA 15	<i>Delinquency prevention / intervention</i>			✓		
	<b>Performance Measurement</b>					
CWLA 26	<i>Consensus on client outcomes</i>		✓			Sept. 2006
CWLA 27	<i>Categories of client outcomes</i>		✓			Sept. 2006
CWLA 28	<i>Outcome measurement/reporting system</i>			✓		June 2007
CWLA 32	<i>EBP measurement/reporting systems</i>			✓		June 2007
CWLA 33	<i>Mgmt. report sharing with other departments</i>			✓		June 2007
	<b>Intra/Inter-Agency Work Processes</b>					
CWLA 41	<i>Forums with community-based organizations</i>		✓			Sept. 2006

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).

LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
SUMMARY OF RECOMMENDATIONS ADDRESSED BY  
ALAN GLASSMAN  
AS OF AUGUST 11, 2006

No.	Audit Category / Recommendation	Implemented (Completed)	Partially Implemented	Not Implemented	Funding Requested	Estimated Completion
	<b>Strategic Planning</b>					
TCBA 2	<i>Annual strategic map goals</i>		✓			Mar. 2007
TCBA 6	<i>Strategic management / QA function</i>			✓		Dec. 2006
	<b>Linking Strategy to Operations</b>					
TCBA 7	<i>Linkage of strategic initiatives to operations</i>			✓		Mar. 2007
TCBA 8	<i>Strategic initiatives tracking system</i>			✓		Dec. 2006
TCBA 10	<i>Staff training in administrative processes</i>		✓			
	<b>Organ. Structure &amp; Leadership</b>					
TCBA 15	<i>Training in strategic planning, performance measurement, and outcome measurement</i>			✓		Dec. 2006
TCBA 17	<i>Reorganize Probation Department</i>		✓			Dec. 2006
TCBA 20	<i>Open organization culture</i>		✓			Mar. 2007
	<b>Personnel Measurement</b>					
TCBA 39	<i>Compliance with core training requirements</i>			✓		June 2007
TCBA 40	<i>Agency-wide training system</i>			✓		June 2007
	<b>Best Practices &amp; Benchmarking</b>					
CWLA 16	<i>Systematic program evaluation</i>					Dec. 2006

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).



## SUMMARY OF FIVE “NOT APPLICABLE” PROBATION DEPARTMENT MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS

- **TCBA 19 – *Consider placing Service Managers and subsidiary functions at each of the Department’s detention and treatment facilities under the authority of the Facility Managers while maintaining a central coordination function.***

**Probation Response:** “The Department is functioning with an appropriate Service Manager reporting structure that is effective and promotes improved accountability, consistency, and efficiency. The Department has considered the above recommendation and has determined that Service Managers are appropriately situated to ensure their necessary independence and to provide for a separation of duties between facilities operations and support services. In the past, Service Managers and their subsidiary functions were under the authority and control of the on-site facility managers (Camp Directors and Juvenile Hall Superintendents). As structured, the service manager function lacked consistency and accountability.

In order to improve accountability, efficiency, and in order to establish/enforce internal controls, Service Managers and their subsidiary functions were assigned to the Management Services Bureau (MSB). The MSB provides oversight to the Service Managers and a centralized support structure to the facility managers. The Department has no current plan to amend the existing structure.”

**TRC Comment:** The Probation Department used to have the recommended organizational arrangement. The Department previously determined that the current matrix reporting arrangement provides a more standardized and efficient approach to service delivery as well as more effective controls over purchasing and expenditure control. TRC concurs with the Department’s “not applicable” response.

- **TCBA 23 – *Consider initiating advisory groups representing County judges, law enforcement agencies, and the child welfare community.***

**Probation Response:** “As indicated on page 45 of the Thompson, Cobb, Bazilio and Associates (TCBA) Audit Report, ‘The Probation Department effectively participates in a broad range of advisory groups.’ These advisory groups include:

- Probation Commission
- Commission for Children and Families
- Children’s Planning Commission
- Countywide Criminal Justice Coordination Committee (CCJCC)
- Presiding Judge, Children’s Court
- L.A. Youth Justice Coalition
- New Directions Task force
- Sybil Brand Commission
- Narcotics and Dangerous Drug Commission
- Interagency-Agency Council on Child Abuse and Neglect (ICAN)
- Interagency Operations Group (IOG).

The Chief Probation Officer meets routinely with the Presiding Judge of Children's Court and with Superior Court Adult Judges, which include:

- Frequent meetings with the Presiding Judge of the Los Angeles County Superior Court
- Monthly meetings with the Airport Courts
- Drug Court Advisory Committee, Judge's Roundtable
- Drug Court Advisory Committee
- Proposition 36 Task Force.

Additionally, the Department receives extensive input from law enforcement agencies. Input from the remaining constituent group mentioned, the child advocacy community, is derived from participation with the following groups:

- Children's Planning Council
- Public Counsel
- Post Disposition Program
- Youth Law Center."

**TRC Comment:** TRC concurs with the Department's "not applicable" response.

- **TCBA 26 – Consider conducting a requirements and capacity analysis of the required data network to ensure that it will have sufficient capacity to support the planned deployment of the newer network intensive technologies.**

**TRC comment:** The County's Internal Services Department (ISD) is responsible for providing sufficient network capacity to support Probation's current and future needs. Probation does and will continue to communicate the Department's information technology (IT) plans and requirements to ISD, so the latter can incorporate such information into its ongoing management of the County's IT network. TRC concurs with the Department's "not applicable" response.

- **TCBA 38 – Consider entering into a Memorandum of Understanding (MOU) with the Los Angeles County Sheriff or the Los Angeles County District Attorney's Office to conduct criminal investigations of Probation Department personnel that would typically be investigated by local law enforcement agencies.**

**Probation Response:** "No single agency has jurisdiction over all Departmental work sites and all criminal offense situations. Each County work site location is under the jurisdiction of a specific law enforcement agency. These agencies are required to conduct investigations of any violations of law that occur within their respective jurisdictions.

The Department has, historically, been successfully in having violations of law, alleged to have been committed by Departmental staff, investigated by the appropriate law enforcement agency. Recently, Los Angeles County District Attorney's Investigators successfully conducted an investigation of a Department staff person.

Based on the limitations listed above and the fact that a need for a single investigating agency has not manifested itself, the Department will continue to use the appropriate, jurisdictional-based, law enforcement agency to investigate the criminal activity of its employees."

**TRC Comment:** TRC concurs with the Department's "not applicable" response.

- **CWLA 47 – *Resolve the differences in interpretation regarding the levels of supervision at the Juvenile Halls.***

**Probation Response:** “According to the Child Welfare League of America (CWLA) Audit, the problem is not in the interpretations of the “levels of supervision,” but rather in the ability of the Department to provide supervision at the level dictated by DMH staff, due to Detention staff shortages. As a result of the Department of Justice (DOJ) monitoring the Juvenile Halls, the Department is hiring a significant number of additional Detention staff, which should alleviate this problem.

On January 31, 2006, the Board of Supervisors approved funding for an additional 237 budgeted peace officer line positions, and an additional 33 positions on April 18, 2006, for a total of 270 line positions for the Department. All of these positions have been filled. Training classes are also ongoing.”

**TRC Comment:** As indicated in the Probation Department’s May 17, 2006 audit response to the Board of Supervisors, the issue does not lie in interpreting required levels of supervision at the three juvenile halls. Rather, it was a matter of the Department receiving Board approval to hire the additional staff needed to provide adequate supervision at the three juvenile halls. When the Probation Department received Board approval for the additional positions, the Department immediately proceeded to hire all 270 additional staff for the juvenile halls by June 1, 2006. TRC concurs with the Department’s “not applicable” response.

**LOS ANGELES COUNTY PROBATION DEPARTMENT  
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS  
CUMULATIVE PROJECTED QUARTERLY IMPLEMENTATION SCHEDULE  
AS OF AUGUST 11, 2006**

<b>Audit Category &amp; Number of Recommendations</b>	<b>1<sup>ST</sup> Quarter Actuals</b>	<b>2<sup>ND</sup> Quarter Estimate</b>	<b>3<sup>RD</sup> Quarter Estimate</b>	<b>4<sup>TH</sup> Quarter Estimate</b>	<b>5<sup>TH</sup> Quarter Estimate</b>	<b>6<sup>TH</sup> – 10<sup>TH</sup> Quarter Estimate*</b>
<b>TCBA Management Audit</b>						
<i>Strategic planning (6)</i>		4	5	6	6	6
<i>Linking strategy to operations (8)</i>		4	5	7	8	8
<i>Organizational structure and leadership (8)</i>	2	3	6	7	8	8
<i>Automated systems and technology (7)</i>	3	4	4	4	4	7
<i>Personnel management (14)</i>	5	5	6	6	13	14
<i>Other audit areas (3)</i>	2	2	3	3	3	3
<b>Subtotal (46) – TCBA Management Audit</b>	<b>12</b>	<b>22</b>	<b>29</b>	<b>33</b>	<b>42</b>	<b>46</b>
<b>CWLA Program Audit</b>						
<i>Program planning and implementation (14)</i>			6	9	12	14
<i>Best practices and benchmarking (11)</i>		1	3	3	6	11
<i>Performance measurement (9)</i>	2	5	6	6	8	9
<i>Work processes (15)</i>	3	5	10	11	15	15
<b>Subtotal (49) – CWLA Program Audit</b>	<b>5</b>	<b>11</b>	<b>25</b>	<b>29</b>	<b>41</b>	<b>49</b>
<b>Total: 95 Recommendations</b>	<b>17</b>	<b>33</b>	<b>54</b>	<b>62</b>	<b>83</b>	<b>95</b>
<b>Percentage Completion</b>	<b>18%</b>	<b>35%</b>	<b>57%</b>	<b>65%</b>	<b>87%</b>	<b>100%</b>

*1<sup>st</sup> Quarter (5/10/06 – 8/11/06)*

*2<sup>nd</sup> Quarter (8/12/06 – 11/11/06)*

*3<sup>rd</sup> Quarter (11/12/06 – 2/11/07)*

*4<sup>th</sup> Quarter (2/12/07 – 5/11/07)*

*5<sup>th</sup> Quarter (5/12/07 – 8/11/07)*

*6<sup>th</sup> – 10<sup>th</sup> Quarters (8/12/07 – 11/12/08) \**

\* Anticipate that full implementation of recommendations primarily related to automated systems and technology, and best practices and benchmarking will occur towards the latter part of this schedule. Twenty-two (22) of the recommendations are contingent on funding availability.

Source: The Resources Company (Auditor-Controller Work Order No. 7-27).